

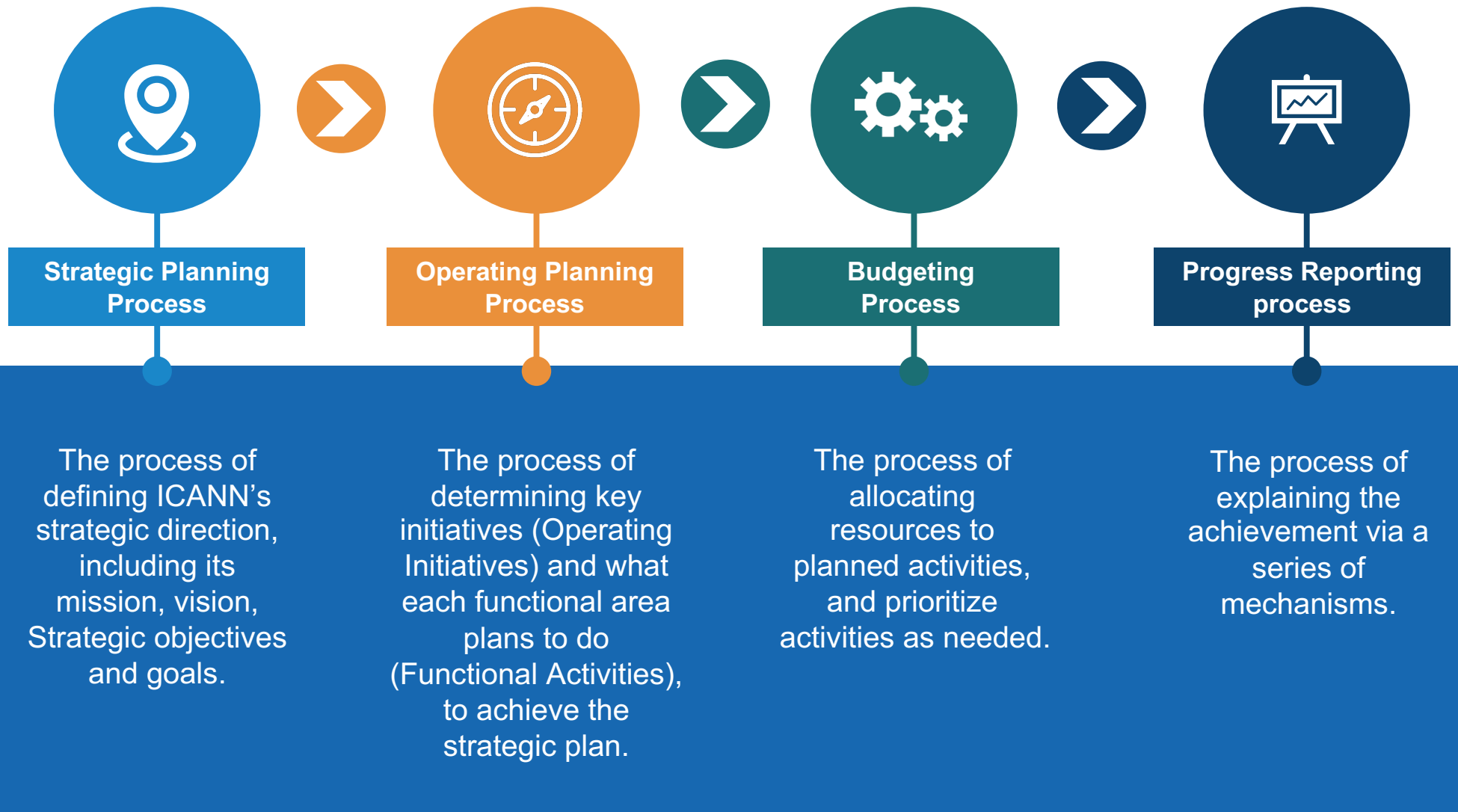
# Overview of the Adopted FY22 – 26 Operating Initiatives

ICANN Planning Team

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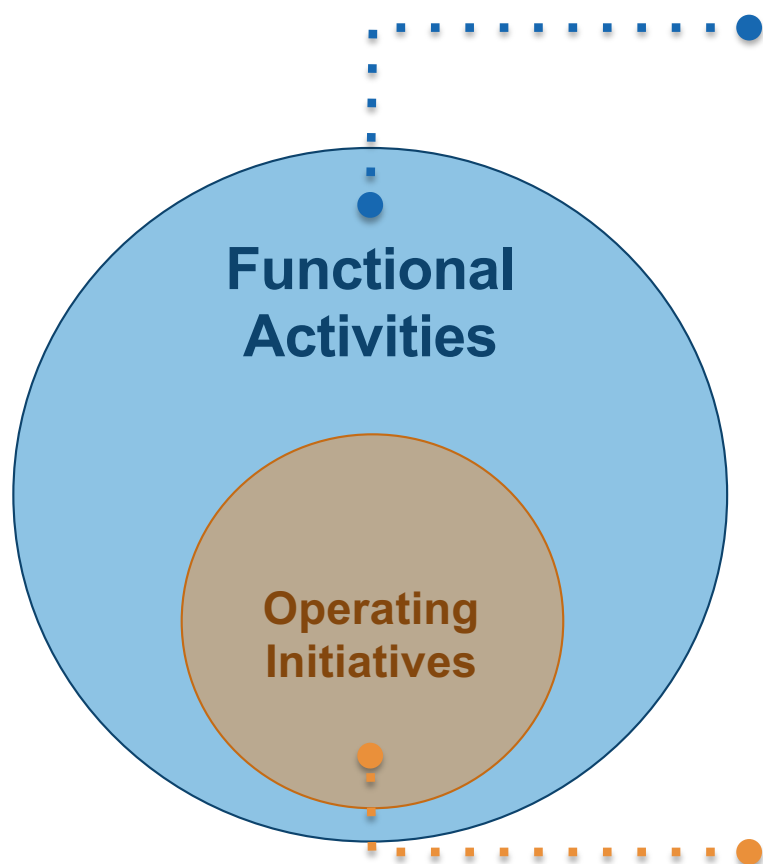


# ICANN Planning Processes Overview



# Operating Plan Structure

The Operating Plan includes description of the activities ICANN org will undertake to achieve its Strategic Plan, operate the organization and implement its mission and mandate.



## Functional Activities (34 in 5 groups)

Activities of the Functions to:

- Operate the organization, such as *Human Resources or Finance*
- or
- Implement ICANN's mission and mandate, such as *Contractual Compliance or the IANA*.

## Operating Initiatives (15)

- The 15 operating initiatives represent major areas of work that support the strategic objectives identified in the strategic plan

Please refer to Appendices for the list of all Functional Activities and Operating Initiatives

# FY22 Operating Initiatives Overview pg. 1/2

	Operating Initiatives	Purpose
1	Support the evolution of the Root Server System	ICANN will continue to support and collaborate with key stakeholders to ensure the stable, secure, and resilient operation of the Domain Name System (DNS) root zone for the global Internet community (page 15)
2	Facilitate Improvements of the DNS Ecosystem	This initiative encompasses efforts to understand, document, and improve the emergency readiness of ICANN and other actors in the DNS ecosystem (page 19)
3	Evolve and Strengthen the Multistakeholder Model to facilitate Diverse and Inclusive Participation in Policymaking	This initiative aims to ensure that participation in the policy development work of ICANN's three Supporting Organizations (SOs) and policy advice developed by the four Advisory Committees (ACs) is globally representative (page 23)
4	Evolve and Strengthen the ICANN Community's <b>Decision-making Processes</b> to Ensure Efficient and Effective Policymaking	This initiative focuses on the facilitation of more efficient, timely, and effective policy development work by ICANN's three SOs and advice by the four ACs. Personnel support is provided for developing, documenting, and implementing changes and improvements to community procedures and processes intended to reflect commitment to reaching consensus and effective policymaking (page 28)
5	Develop Internal and External Ethics Policies	This operating initiative focuses on the development of internal and external ethics policies to guide behavior within ICANN org and the community (page 32)
6	Promote and Sustain a Competitive Environment in the Domain Name System	This initiative encompasses ICANN org activities in support of a competitive environment in the DNS marketplace. This includes preparation for the launch of additional rounds of new gTLDs, applying knowledge gained through the implementation of the 2012 round and subsequent reviews aimed at evaluating different aspects of the program (page 34)
7	Universal Acceptance	This program encompasses ICANN org's Universal Acceptance (UA) efforts to ensure that Internet applications and systems treat all TLDs in all scripts and email addresses based on those domains in a consistent manner. UA promotes consumer choice and provides broader access to end users (page 38)
8	Root Zone Management Evolution	This initiative supports the continued advancement of the technology platform used to provide root zone management services. This system manages the workflow of change requests from customers, automates many aspects of the processing, and ensures quality, accuracy, and timeliness of the business process (page 40)

# FY22 Operating Initiatives Overview pg. 2/2

	Operating Initiatives	Purpose
9	Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem	To ensure a single, globally interoperable Internet, ICANN plans to identify where governmental and intergovernmental discussions and initiatives are taking place and determine where ICANN has or should engage to address these initiatives. This process also will identify any activities ICANN org's Government and IGO Engagement team will need to reduce or stop as well as where targeted engagement must increase (page 44)
10	Through Targeted Engagement Improve Governmental and Intergovernmental Organizations (IGO) Engagement and Participation in ICANN	This operating initiative focuses on two areas: working with governments and IGOs engaged with ICANN and the policy development process through the GAC and, more broadly, working with governments and IGOs on issues beyond those being addressed through policy development processes (page 47)
11	Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration with Others that May Impact the ICANN Mission	This initiative builds on the work begun by ICANN org in 2018 to identify and report on legislative and regulatory developments around the world that could have an impact on ICANN's ability to fulfill its Mission. Part of ICANN's work within this initiative is providing educational information to governments on those issues in order to help ensure that lawmakers have the full benefit of ICANN's technical expertise (page 51)
12	Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers	This initiative includes activities for ICANN org to analyze its funding model within the context of the marketplace, reviewing key market enablers and challenges to domain name industry growth over the same period to provide a solid foundation for future funding projections (page 54)
13	Implement New gTLD Auction Proceeds Recommendations as Approved by Board	This initiative relates to preparations for the implementation of the Board-approved recommendations arising from the Cross-Community Working Group on New gTLD Auction Proceeds (CCWG-AP) (page 57)
14	Planning at ICANN	Careful planning of ICANN activities helps safeguard ICANN's long-term financial sustainability and ensure that ICANN org is accountable to the public in its stewardship of ICANN's Mission. This initiative encompasses ICANN org planning activities (page 59)
15	ICANN Reserves	To safeguard ICANN's long-term financial sustainability and ensure that ICANN org is accountable to the public in its stewardship of ICANN's Mission, the level of ICANN reserves must be continuously set, reached, and maintained consistent with the complexity and risks of ICANN's environment (page 61)

# FY22 Operating Initiatives Highlights pg. 1/2

Operating Initiatives		Examples of Key Milestones
1	Support the evolution of the Root Server System	<ul style="list-style-type: none"> <li>• Develop prototype of Root Server System Monitoring System</li> <li>• Set up root zone distribution services</li> </ul>
2	Facilitate Improvements of the DNS Ecosystem	<ul style="list-style-type: none"> <li>• Advocate for developers to enable DNSSEC</li> <li>• Support the implementation of DANE</li> </ul>
3	Evolve and Strengthen the Multistakeholder Model to facilitate <b>Diverse and Inclusive</b> Participation in Policymaking	<ul style="list-style-type: none"> <li>• Implement the Enhancing the Multistakeholder Model (MSM) according to the agreed upon level of priority</li> </ul>
4	Evolve and Strengthen the ICANN Community's <b>Decision-making Processes</b> to Ensure Efficient and Effective Policymaking	<ul style="list-style-type: none"> <li>• Implement the Enhancing the Multistakeholder Model (MSM) according to the agreed upon level of priority</li> </ul>
5	Develop Internal and External Ethics Policies	<ul style="list-style-type: none"> <li>• Continue development of ICANN org ethics policies</li> <li>• Continue development of ICANN community ethics policies</li> </ul>
6	Promote and Sustain a Competitive Environment in the Domain Name System	<p>If the PDP approved by the Board:</p> <ul style="list-style-type: none"> <li>• developing program documentation for the application process.</li> <li>• Convening the Implementation Review Team (IRT).</li> <li>• Planning and executing operational readiness activities.</li> </ul>
7	Universal Acceptance	<ul style="list-style-type: none"> <li>• Set up a mechanism to reach out to technology developers for UA remediation.</li> <li>• Conduct outreach to two relevant standards bodies and to providers of programming language, tools, and platforms to support UA.</li> </ul>
8	Root Zone Management Evolution	<ul style="list-style-type: none"> <li>• Complete a rewrite of the Root Zone Management System.</li> </ul>

# FY22 Operating Initiatives Highlights pg. 2/2

Operating Initiatives		Examples of Key Milestones
9	Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem	<ul style="list-style-type: none"> <li>• Revise engagement plan to reflect the prioritization or reprioritization of engagement based on the ecosystem mapping and the MoU evaluation and relationship assessment completed in FY21.</li> <li>• Publish a document that serves as a definitional publication for the distinction between technical Internet governance and previous description of Internet governance.</li> </ul>
10	Through Targeted Engagement Improve Governmental and Intergovernmental Organizations (IGO) Engagement and Participation in ICANN	<ul style="list-style-type: none"> <li>• Prepare for the possibility of three capacity-building trainings</li> </ul>
11	Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration with Others that May Impact the ICANN Mission	<ul style="list-style-type: none"> <li>• Utilizing the to-be-completed assessment and monitoring process during FY21, continue monitoring and assessing legislative and regulatory developments around the world that could have an impact on ICANN's ability to fulfill its Mission.</li> </ul>
12	Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers	<ul style="list-style-type: none"> <li>• This work was launched in FY21</li> </ul>
13	Implement New gTLD Auction Proceeds Recommendations as Approved by Board	<ul style="list-style-type: none"> <li>• Subject to implementation plan</li> </ul>
14	Planning at ICANN	<ul style="list-style-type: none"> <li>• The creation of the new planning dept launched to integrate the Planning processes. In addition, the Planning Prioritization Framework project launched in FY21 for FY23 Planning</li> </ul>
15	ICANN Reserves	<ul style="list-style-type: none"> <li>• The minimum reserve fund target level was achieved in FY21 which is 6 years earlier than Board approved timeline</li> </ul>

# Appendix



# Functional Activities – 34 in 5 groups

## Technical and DNS Security

- Office of the Chief Technology Officer
- ICANN Managed Root Server
- Internationalized Domain Names and Universal Acceptance
- IANA Functions
- Contractual Compliance

## Policy Development and Implementation Support

- Policy Development & Advice
- Policy Research and Stakeholder Programs
- Contracted Parties Services Operations
- Technical Services
- Strategic Initiatives
- Constituent & Stakeholder Travel

## Community Engagement and Services

- Global Stakeholder Engagement
  - Regional Offices
- Public Responsibility Support
- Government & IGOs Engagement
- GDD Accounts & Services
- Consumer Safeguards
- Communications & Language Services
- Global Meetings Operations
- Ombudsman

# Functional Activities – 34 in 5 groups

## ICANN Org Governance

- Board Management
- Office of the President and CEO
- Governance Support
- Nominating Committee Support
- Complaints Office
- Planning
- Reviews Support and Implementation

## ICANN Shared Services

- Finance & Procurement
- Risk Management
- Engineering & Information Technology
- Global Human Resources & Administrative Services
- Global Support Center
- Board Operations
- Security Operations
- ICANN Offices

# Operating Initiatives

1	Support the Evolution of the Root Server System	9	Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem
2	Facilitate DNS Ecosystem Improvements	10	Through Targeted Engagement Improve Governmental and Intergovernmental Organization (IGO) Engagement and Participation in ICANN
3	Evolve and Strengthen the Multistakeholder Model to facilitate Diverse and Inclusive Participation in Policymaking	11	Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration with Others that May Impact the ICANN Mission
4	Evolve and Strengthen the ICANN Community's Decision-making Processes to Ensure Efficient and Effective Policymaking	12	Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers
5	Develop Internal and External Ethics Policies	13	Implement New gTLD Auction Proceeds Recommendations as Approved by Board
6	Promote and Sustain a Competitive Environment in the Domain Name System	14	Planning at ICANN
7	Universal Acceptance	15	ICANN Reserves
8	Root Zone Management Evolution		

# Operating Initiatives Financial Estimates: 5-Year Projections

- A high and low scenario envelope was estimated for all Operating Initiatives; for modeling purposes we use the mid-point
- Financials were estimated for initiatives that require incremental efforts; it is assumed that some initiatives are already being worked on with existing budget

	Operating Initiatives (in Millions USD)	5-Year Financial Estimate (Low)	5-Year Financial Estimate (Midpoint)	5-Year Financial Estimate (High)	Financial Assumptions for Midpoint Scenario
1	Support the Evolution of the Root Server System	\$3.0	\$4.5	\$6.0	2 headcount for the 5-year period and funds for 3rd party consulting expense for meeting facilitation and research
2	Facilitate DNS Ecosystem Improvements	\$4.0	\$6.0	\$8.0	1 headcount for the 5-year period along with costs for engagement and research. This excludes outcomes from the policies that will result from EPDP Phase 1 and 2
3	Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking	\$3.0	\$4.3	\$5.5	1 headcount for a Project Manager to facilitate and advise and funds for implementation relating to the recommendations and outcomes
4	Evolve and Strengthen the ICANN Community's Decision-making Processes to Ensure Efficient and Effective Policymaking	\$1.0	\$1.5	\$2.0	1 headcount for the 5-year period
5	Develop Internal and External Ethics Policies	\$0.5	\$0.8	\$1.0	3rd party consulting costs to help administer the tracking and facilitation of the program
6	Promote and Sustain a Competitive Environment in the Domain Name System	-	-	-	Separately funded and therefore no incremental resources are included in the projections
7	Universal Acceptance	\$1.5	\$2.0	\$2.5	3rd party consulting expense
8	Root Zone Management Evolution	\$3.0	\$4.5	\$6.0	1.5 FTEs from Engineering and IT and 1 FTE from the IANA team and funds for 3rd party consulting expense for research
9	Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem	-	-	-	Resources for this initiative are included within the functional activities of the financial plan
10	Through Targeted Engagement Improve Governments and Intergovernmental Organizations (IGOs) Engagement and Participation in ICANN	-	-	-	Resources for this initiative are included within the functional activities of the financial plan
11	Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration With Others That May Impact the ICANN Mission	-	-	-	Resources for this initiative are included within the functional activities of the financial plan
12	Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers	\$0.5	\$1.0	\$1.5	1 headcount for the 5-year period and funds for 3rd party consulting expense for research
13	Implement New gTLD Auction Proceeds Recommendations As Approved by Board	-	-	-	Separately funded and therefore no incremental resources are included in the projections
14	Planning at ICANN	-	-	-	Resources for this initiative are included within the functional activities of the financial plan
15	ICANN Reserves	-	-	-	Resources for this initiative are included within the functional activities of the financial plan
	<b>Total</b>	<b>\$16.5</b>	<b>\$24.5</b>	<b>\$32.5</b>	